

Northrop Grumman Information Technology, Inc.
VITA Contract
SAS70 Planning: Example Control Objectives

Information Systems Operations

1. Controls provide reasonable assurance that production processing activities are documented and executed in accordance with approved schedules to normal completion.
2. Controls provide reasonable assurance that only authorized production programs are executed.
3. Controls provide reasonable assurance that data is retained in accordance with the Commonwealth IT Security Standard 2001-01.1.
4. Controls should provide reasonable assurance that systems are available and that operational problems are identified and resolved in accordance with documented policies or service level agreements.

Information Security

5. Controls should provide reasonable assurance that physical access to computer and network hardware, stored data, and documentation is restricted to prevent unauthorized destruction, modification, disclosure, or use.
6. Controls should provide reasonable assurance that logical access to production programs, data files, sensitive system transactions, and operating system files is restricted to authorized users only.
7. Controls provide reasonable assurance that information resources are protected against environmental hazards and related damage.
8. Controls should provide reasonable assurance that regularly scheduled processes that are required to maintain continuity of operations in the event of a catastrophic loss of data, facilities, or to minimize the impact of threats to data, facilities or equipment, are performed as scheduled.

Change Control

9. Controls provide reasonable assurance that network, communication, and systems software changes are approved by management prior to implementation in accordance with documented policies and procedures.
10. Controls provide reasonable assurance that necessary modifications to existing network, communications and systems software are implemented within the timeframes required by documented policies and procedures.
11. Controls should provide reasonable assurance that modifications to the production environment are tested prior to implementation and function consistent with documented policies and procedures.